

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: : APPARATUS AND METHOD FOR
: COUPLING LIGHT TO A THIN
CHUBING PENG : FILM OPTICAL WAVEGUIDE
: :
: Attorney Docket No. SEAG 63412

INFORMATION DISCLOSURE STATEMENT

November 20, 2003

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR Sections 1.56, 1.97 and 1.98, Applicant submits herewith copies of the references (other than U.S. Patents and Published Applications) cited on the attached Forms PTO/SB/08A and PTO/SB/08B for consideration during prosecution of this application.

This Statement is filed solely for the purpose of complying with the pertinent rules of the Office and is not intended to be a substitute for an independent evaluation by the Examiner of the art cited or an independent search by the Examiner, and no representation of any nature is made or intended by the filing of this Statement.

Respectfully submitted,

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	
				Filing Date	
				First Named Inventor	Chubing Peng
				Group Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	SEAG 63412

U.S. PATENT DOCUMENTS						
Examiner Initials [*]	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		4,691,982		Nishimura et al.	09-08-1987	
		5,436,991		Sunagawa et al.	07-25-1995	
		6,031,951		Stiens	02-29-2000	
		6,236,773		Butler et al.	05-22-2001	
		6,487,328		Butler et al.	11-26-2002	
		Publication No. 2001/0012423		Butler et al.	08-09-2001	
		Publication No. 2003/0031413		Kimerling et al.	02-13-2003	

FOREIGN PATENT DOCUMENTS								
Examiner Initials [*]	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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				Filing Date	
				First Named Inventor	Chubing Peng
				Group Art Unit	
				Examiner Name	
Sheet	1	of	1	Attorney Docket Number	SEAG 63412

Examiner Initials [*]	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		J. H. HARRIS ET AL., "Theory and Design of Periodic Couplers," <i>Applied Optics</i> , Vol. 11, No. 10, October 1972, pp. 2234-2241.	
		T. TAMIR ET AL., "Analysis and Design of Grating Couplers," <i>Applied Physics</i> , Vol. 14, June 28, 1977, pp. 235-254.	

Examiner Signature		Date Considered	
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